

Express Mail No. EV328709331US  
Date of Deposit: September 22, 2003

Attorney Docket No. 24309-501

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10-3-03



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Mark Hoffman et al.  
Serial No.: 09/696,762  
Filed: October 25, 2000  
For: INVESTMENT ADVICE SYSTEMS AND METHODS  
Examiner: Not Yet Assigned  
Art Unit: 3628

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Mail Stop Non-Fee Amendment  
Commissioner for Patents  
P.O. Box 1450  
15 Alexandria, VA 22313-1450

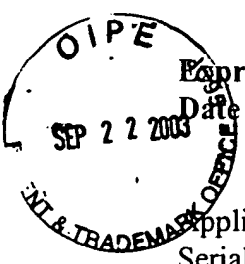
PRELIMINARY AMENDMENT A

Sir/Madam:

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Before examination of the above-identified application, please amend the application as follows.

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### TRANSMITTAL LETTER

Sir/Madam:

In reviewing our file for the above-referenced application, we discovered that Preliminary Amendment A (filed July 18, 2003) was inadvertently submitted **without** markings to indicate changes that have been made relative to the immediate prior version of the claims (for the claims that were currently amended) as indicated in 37 CFR 1.121. Thus, to ensure compliance of Preliminary Amendment A with 37 CFR 1.121, we are transmitting herewith for filing in the above-referenced application the following documents:

- 1) A copy of Preliminary Amendment A **with** markings to indicate changes that have been made relative to the immediate prior version of the claims for the claims that were currently amended; and
- 2) Return Postcard.

If the enclosed papers are considered incomplete, the Mail Room is respectfully requested to contact the undersigned collect at 617-542-6000, Boston, Massachusetts.

Applicants believe that no additional fees are due in connection with this submission. However, the Commissioner is authorized to charge any additional fees that may be due, or credit any overpayment of same, to Deposit Account No. 50-0311, Reference No. 24309-501. A duplicate copy of this Transmittal Letter is enclosed.

Respectfully submitted,

C. Eric Schulman, Esq. (Reg. No. 43,350)  
Mintz, Levin, Cohn, Ferris,  
Glovsky and Popeo, P.C.  
One Financial Center  
Boston, MA 02111  
Telephone 617/542-6000  
Attorneys for Applicants

Dated: September 22, 2003

Correspondence should be addressed to customer number 30623.

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